

**UNITED STATES PATENT & TRADEMARK OFFICE**  
Washington, D.C. 20231

| REQUEST FOR PATENT FEE REFUND                         |                           |   |           |           |   |   |    |   |   |   |   |
|---|---------------------------|---|-----------|-----------|---|---|----|---|---|---|---|
| 1 Date of Request: <u>5/13/05</u>                     |                           | 2 Serial/Patent # <u>10709,329</u>  |           |           |   |   |    |   |   |   |   |
| 3 Please refund the following fee(s):                 | 4 PAPER NUMBER            | 5 DATE FILED  | 6 AMOUNT  |           |   |   |    |   |   |   |   |
| Filing  |                           |   | \$        |           |   |   |    |   |   |   |   |
| Amendment   |                           |   | \$        |           |   |   |    |   |   |   |   |
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|   |                           | 7 TOTAL AMOUNT OF REFUND  |           | \$ 130.00 |   |   |    |   |   |   |   |
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|   | Overpayment               | <input type="checkbox"/> Treasury Check   |           |           |   |   |    |   |   |   |   |
|   | Duplicate Payment         | <input checked="" type="checkbox"/> Credit Deposit A/C #:   |           |           |   |   |    |   |   |   |   |
| <input checked="" type="checkbox"/>                   | No Fee Due (Explanation): | 9 <table border="1" style="display: inline-table; text-align: center; width: 150px;"><tr><td>0</td><td>4</td><td>--</td><td>0</td><td>1</td><td>0</td><td>0</td></tr></table> |           |           | 0 | 4 | -- | 0 | 1 | 0 | 0 |
| 0   | 4                         | --  | 0         | 1         | 0 | 0 |    |   |   |   |   |
| Filing date petition granted                          |                           |   |           |           |   |   |    |   |   |   |   |
| 11 REFUND REQUESTED BY:                               |                           |   |           |           |   |   |    |   |   |   |   |
| TYPED/PRINTED NAME: <u>Cliff Congo</u>                |                           | TITLE: <u>Attorney</u>  |           |           |   |   |    |   |   |   |   |
| SIGNATURE: <u>[Signature]</u>                         |                           | PHONE: <u>571-272-3207</u>  |           |           |   |   |    |   |   |   |   |
| OFFICE: <u>Petitions</u>                              |                           |   |           |           |   |   |    |   |   |   |   |
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| APPROVED: <u>[Signature]</u>                          |                           | DATE: <u>5/13/05</u>  |           |           |   |   |    |   |   |   |   |

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Crystal Park One, Room 802B**

DAC

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Docket No.: 20107/1200838-US1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:  
Earl Rotman et al.

Application No.: 10/709,329

Confirmation No.: 3328

Filed: April 28, 2004

Art Unit: 3628

For: SYSTEM AND METHOD FOR CREATING  
TRADEABLE FINANCIAL UNITS

Examiner: N. B. Nguyen

2/28/2004 SFELEKE1 00000010 10709329

1-FC:1999

130.00 OP

PETITION FOR FILING DATE

MS Petition  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

The applicant in the above-identified patent application hereby petitions the United States Patent and Trademark Office to grant a filing date of April 28, 2004 to the above-identified patent application. A Notice to File Missing Parts Dated December 13, 2004 indicates that the application had been granted a filing date of July 15, 2004, the date upon which the USPTO received replacement drawings for this patent application. There are two grounds supporting this petition:

A. Drawings were in fact present in the application as filed;

B. To the extent that the method is concerned, drawings are not required for a complete description of the invention, and to the extent that apparatus claims are concerned, drawings were incorporated by reference in the provisional patent application of which the priority is claimed.

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adjustment date: 12/28/2004 SFELEKE1

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adjustment date: 05/13/2005 SFELEKE1  
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